

<b>UTILITY PATENT APPLICATION TRANSMITTAL</b> <small>(Only for new nonprovisional applications under 37 CFR 1.53(a))</small>	Attorney Docket No.	198334US2
	First Inventor or Application Identifier	Kazuhisa KASHIMURA
	Title	ARRAYED WAVEGUIDE GRATING TYPE OPTICAL...
Assignee Name: THE FURUKAWA ELECTRIC CO., LTD. Assignee Address: 6-1, Marunouchi 2-chome, Chiyoda-ku, Tokyo 100-8322 JAPAN		

<b>APPLICATION ELEMENTS</b> See MPEP chapter 600 concerning utility patent application contents	ADDRESS TO: Assistant Commissioner for Patents Box Patent Application Washington, DC 20231
1. <input checked="" type="checkbox"/> Fee Transmittal Form (e.g. PTO/SB/17) (Submit an original and a duplicate for fee processing) 2. <input checked="" type="checkbox"/> Specification Total Sheets <b>35</b> 3. <input checked="" type="checkbox"/> Formal Drawing(s) (35 U.S.C. 113) Total Sheets <b>22</b> 4. <input type="checkbox"/> Oath or Declaration Total Pages <input type="text"/> a. <input type="checkbox"/> Newly executed (original or copy) b. <input type="checkbox"/> Copy from a prior application (37 C.F.R. §1.63(d)) (for continuation / divisional w/ box 16 completed) i. <input type="checkbox"/> DELETION OF INVENTOR(S) Signed statement attached deleting inventor(s) named in the prior application, see 37 C.F.R. §1.63(d)(2) and 1.33(b). 5. <input type="checkbox"/> CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix) 6. <input type="checkbox"/> Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary) a. <input type="checkbox"/> Computer Readable Form (CRF) b. Specification or Sequence Listing on: i. <input type="checkbox"/> CD-ROM or CD-R (2 copies); or ii. <input type="checkbox"/> Paper c. <input type="checkbox"/> Statements verifying identity of above copies	<b>ACCOMPANYING APPLICATION PARTS</b> 7. <input type="checkbox"/> Assignment Papers (cover sheet & document(s)) 8. <input type="checkbox"/> Application Data Sheet. See 37 CFR 1.76 9. <input type="checkbox"/> 37 C.F.R. §3.73(b) Statement <input type="checkbox"/> Power of Attorney (when there is an assignee) 10. <input type="checkbox"/> English Translation Document (if applicable) 11. <input type="checkbox"/> Information Disclosure Statement (IDS)/PTO-1449 <input type="checkbox"/> Copies of IDS Citations 12. <input type="checkbox"/> Preliminary Amendment 13. <input checked="" type="checkbox"/> White Advance Serial No. Postcard 14. <input type="checkbox"/> Certified Copy of Priority Document(s) (if foreign priority is claimed) 15. <input type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27 16. <input checked="" type="checkbox"/> Other: Request for Priority List of Inventor's Name

16. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below:

☐ Continuation    ☐ Divisional    ☐ Continuation-in-part (CIP)    of prior application no.:

Prior application information:    Examiner:    Group Art Unit:

For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 4b, is considered a part of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

17. Amend the specification by inserting before the first line the sentence:

☐ This application is a ☐ Continuation ☐ Division ☐ Continuation-in-part (CIP)  
 of application Serial No.    Filed on


☐ Which was published in English

☐ Which was not published in English

☐ This application claims priority of provisional application Serial No.    Filed

**18. CORRESPONDENCE ADDRESS**

  
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Name:	Gregory J. Maier	Registration No.:	25,599
Signature:		Date:	12-22-00
Name:	Surinder Sachar	Registration No.:	34,423

12/22/00  
 12/22/00  
 12/22/00

JC760 U.S. PTO  
 09/741824  
 12/22/00

Docket No. 198334US2

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

INVENTOR(S) Kazuhisa KASHIHARA ET AL

SERIAL NO: New Application

FILING DATE: Herewith

FOR: ARRAYED WAVEGUIDE GRATING TYPE OPTICAL...



FEE TRANSMITTAL

ASSISTANT COMMISSIONER FOR PATENTS  
WASHINGTON, D.C. 20231

FOR	NUMBER FILED	NUMBER EXTRA	RATE	CALCULATIONS
TOTAL CLAIMS	17 - 20 =	0	× \$18 =	\$0.00
INDEPENDENT CLAIMS	4 - 3 =	1	× \$80 =	\$80.00
<input type="checkbox"/> MULTIPLE DEPENDENT CLAIMS (If applicable)			+ \$270 =	\$0.00
<input checked="" type="checkbox"/> LATE FILING OF DECLARATION			+ \$130 =	\$130.00
BASIC FEE				\$710.00
TOTAL OF ABOVE CALCULATIONS				\$920.00
<input type="checkbox"/> REDUCTION BY 50% FOR FILING BY SMALL ENTITY				\$0.00
<input type="checkbox"/> FILING IN NON-ENGLISH LANGUAGE			+ \$130 =	\$0.00
<input type="checkbox"/> RECORDATION OF ASSIGNMENT			+ \$40 =	\$0.00
TOTAL				\$920.00

- ☐ Please charge Deposit Account No. 15-0030 in the amount of A duplicate copy of this sheet is enclosed.
- ☒ A check in the amount of **\$920.00** to cover the filing fee is enclosed.
- ☒ The Commissioner is hereby authorized to charge any additional fees which may be required for the papers being filed herewith and for which no check is enclosed herewith, or credit any overpayment to Deposit Account No. 15-0030. A duplicate copy of this sheet is enclosed.

Respectfully Submitted,

OBLON, SPIVAK, McCLELLAND,  
MAIER & NEUSTADT, P.C.

Gregory J. Maier  
Registration No. 25,599

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Date: 12-22-00



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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

IN RE APPLICATION OF: Kazuhisa KASHIHARA ET AL

GAU:

SERIAL NO: NEW APPLICATION

EXAMINER:

FILED: HERewith

FOR: ARRAYED WAVEGUIDE GRATING TYPE OPTICAL...

REQUEST FOR PRIORITY



ASSISTANT COMMISSIONER FOR PATENTS  
WASHINGTON, D.C. 20231

SIR:

- ☐ Full benefit of the filing date of U.S. Application Serial Number, filed, is claimed pursuant to the provisions of 35 U.S.C. §120.
- ☐ Full benefit of the filing date of U.S. Provisional Application Serial Number, filed, is claimed pursuant to the provisions of 35 U.S.C. §119(e).
- ☒ Applicants claim any right to priority from any earlier filed applications to which they may be entitled pursuant to the provisions of 35 U.S.C. §119, as noted below.

In the matter of the above-identified application for patent, notice is hereby given that the applicants claim as priority:

<u>COUNTRY</u>	<u>APPLICATION NUMBER</u>	<u>MONTH/DAY/YEAR</u>
JAPAN	11-370602	DECEMBER 27, 1999
JAPAN	2000-102473	APRIL 4, 2000
JAPAN	2000-058646	MARCH 3, 2000
JAPAN	2000-285448	SEPTEMBER 20, 2000

Certified copies of the corresponding Convention Application(s)

- ☐ are submitted herewith
- ☒ will be submitted prior to payment of the Final Fee
- ☐ were filed in prior application Serial No. filed
- ☐ were submitted to the International Bureau in PCT Application Number .  
Receipt of the certified copies by the International Bureau in a timely manner under PCT Rule 17.1(a) has been acknowledged as evidenced by the attached PCT/IB/304.
- ☐ (A) Application Serial No.(s) were filed in prior application Serial No. filed ; and  
(B) Application Serial No.(s)
  - ☐ are submitted herewith
  - ☐ will be submitted prior to payment of the Final Fee

Respectfully Submitted,

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Docket No. 198334US2

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

IN RE APPLICATION OF: Kazuhisa KASHIHARA ET AL

FILING DATE: Herewith

FOR: ARRAYED WAVEGUIDE GRATING TYPE OPTICAL...

**LIST OF INVENTORS' NAMES AND ADDRESSES**

ASSISTANT COMMISSIONER FOR PATENTS  
WASHINGTON, D.C. 20231

SIR:

Listed below are the names and addresses of the inventors for the above-identified patent application.

Kazuhisa KASHIHARA

Chiyoda-ku, Tokyo, Japan

Kazutaka NARA

Chiyoda-ku, Tokyo, Japan

A declaration containing all the necessary information will be submitted at a later date.



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Respectfully Submitted,

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